

FORM PTAB-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.:
36287-03801SERIAL NO.:
10/644,281

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

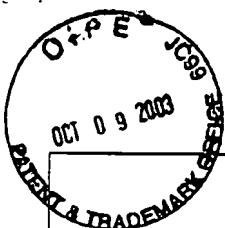
APPLICANTS:
SPIELER, et al.FILING DATE:
August 20, 2003GROUP ART UNIT:
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/W.R./	6,338,047	1/08/02	Wallman			6/24/99
/W.R./	6,282,520	8/28/01	Schirripa			9/9/98
/W.R./	6,148,293	11/14/00	King			10/17/97
/W.R./	6,092,056	7/18/00	Tull, Jr., et al.			5/17/99
/W.R./	5,704,045	12/30/97	King, et al.			1/9/95
/W.R./	2002/0107771	8/8/02	McGuire			8/31/01
/W.R./	2002/0116325	8/22/02	Wise, et al.			3/26/01
/W.R./	2002/0156709	10/24/02	Andrus, et al.			10/29/01
/W.R./	2001/0011243	8/2/01	Dembo, et al.			3/20/01
/W.R./	2001/0018677	8/30/01	Hoffman			4/2/01

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
/W.R./	WO 00/75819 A2	12/14/00	PCT				
/W.R./	JP2002140514A	05/17/02	Japan			✓	

OTHER DOCUMENTS (*Including Author, Title, Date, Pertinent Papers, Etc.*)

/W.R./		Carter, Jeremy & Wadew, Taron., CDO Structures Get Creative To Entice Buyers, August 18, 2002
/W.R./		CDO Handbook, JPMorgan Securities, Inc., May 29, 2001
/W.R./		Cagan, Penny, Capital market solutions for op risks: Does a credit derivative model make sense?; Operational Risk, June 2001
/W.R./		Skora, Richard K.; The Credit Default Swap; www.skora.com , 1998.
/W.R./		Kothari, Vinod, Credit Derivatives, http://www.credit-deriv.com/creprime.html
/W.R./		Calls are puts and puts are calls, http://www.finpipe.com/puts.htm
/W.R./		Business School Credit Derivatives – Part II, Oct. 24, 2002, http://www.indianfoline.com/bisc/crde.html
/W.R./		Credit Default Swaps 101; DerivativesStrategy.com, http://www.derivativesstrategy.com/magazine/archive/2000/0800col.asp
/W.R./		CDO Evaluator Applies Correlation and Monte Carlo Simulation to the Art of Determining Portfolio Quality, Standard & Poor's, Nov. 12, 2001, http://www.standardandpoors.com/emarketing/structuredfinance/copyof111201_evaluator.html
/W.R./		Skora, Richard K., Correlation – the hidden risk in Collateralized Debt Obligations, November 21, 1998, www.skora.com
/W.R./		Mayer, Brown, Rowe & Maw; Collateralized Debt Obligation Practice; March 2001, www.mayerbrownrowe.com/cdo
/W.R./		Van Wijk, Ed; The CDO Market: An Introduction, Feb. 21, 2001
/W.R./		Morgan, Deutsche both claim German Innovation in Credit; Risk.net
/W.R./		Kothari, Vinod; Evolution of Credit Derivatives, http://www.credit-deriv.com/evolution.htm
/W.R./		Kothari, Vinod; Securitization of Banking Assets, CBOs, CLOs and CDOs, August 9, 2001, http://www.vinodkothari.com/bankloan.htm
/W.R./		Kothari, Vinod; Links and materials on synthetic CDOs, http://www.credit-deriv.com/syntheticCDO.htm
/W.R./		Waifo, Elizabeth and Greenberg, Mark I., Key issues in structuring a synthetic securitisation transaction; Sidley Austin Brown & Wood 2001
/W.R./		An Introduction to the Hedging Greeks, http://www.finpipe.com/introhedge.htm
EXAMINER	/William Rankins/	DATE CONSIDERED 08/16/2007

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.: 36287-03801	SERIAL NO.: TBA
INFORMATION DISCLOSURE STATEMENT		APPLICANT: SPIELER et al.	
(Use several sheets if necessary)		FILING DATE: August 20, 2003	GROUP ART UNIT: TBA

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,360,210 B1	03/19/02	Wallman			02/12/99
/W.R./	6,338,047 B1	01/08/02	Wallman			06/24/99
/W.R./	6,282,520 B1	08/28/01	Schirripa			09/09/98
/W.R./	6,148,293	11/14/00	King			10/17/97
/W.R./	6,092,056	07/18/00	Tull, Jr. et al.			05/17/99
/W.R./	5,704,045	12/30/97	King et al.			01/09/95

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/W.R./		WO 00/75819 A2	12/14/00	Europe			✓	
/W.R./		JP 2002-140514 A	05/17/02	Japan			✓	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

EXAMINER			DATE CONSIDERED

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	TBA
		Filing Date	August 20, 2003
		First Named Inventor	SPIELER et al.
		Art Unit	TBA
		Examiner Name	TBA
		Attorney Docket Number	36287-03801
Sheet	1	of	1

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature	/William Rankins/	Date Considered	08/16/2007
--------------------	-------------------	-----------------	------------

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.